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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

**NPR 3430.1B**

Effective Date: March 22,  
2005

Expiration Date: March 22,  
2010

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**Subject: NASA Employee Performance Communication System (EPCS)**

**Responsible Office: Office of Human Capital Management**

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## CHAPTER 7. Employee Performance Files (Written or Otherwise Recorded)

7.1 In accordance with the responsibility and requirements as determined by NASA Headquarters or the Center, all performance-related records shall be maintained in an Employee Performance File and shall be available to:

7.1.1 Agency officials having a need for the information.

7.1.2 Employees and, as appropriate, to an employee's designated personal representative.

7.1.3 Support actions based on the records.

7.1.4 The OPM in connection with its personnel management evaluation role.

7.2 The Rating Official shall provide to an employee the following documents at the time they are prepared:

7.2.1 A draft performance plan with an opportunity to provide input/feedback.

7.2.2 A performance summary rating, including the narrative summary, for the appraisal period and the performance plan that identifies the performance element ratings upon which the rating of record was based.

7.2.3 An Individual Development Plan, if applicable.

7.3 Performance-related records shall, at a minimum, include:

7.3.1 The rating of record, including the narrative summary, for the appraisal period and the performance plan on which it was based.

7.3.2 When provided, input from the employee regarding accomplishments relative to the performance elements and standards of the performance plan.

7.3.3 When provided, the employee's response to any deficiency documented by the Rating Official during the appraisal period.

7.3.4 When requested in writing by the Rating Official, input from the supervisor of a position that the employee was detailed to, previously assigned to, or transferred from .

7.4 Performance-related records may include, but are not limited to:

7.4.1 Recommendations for training that are performance related or for development purposes (e.g., Individual Development Plans).

7.4.2 Recommendations for awards, promotions, denial of within-grade increases, reduction to a lower grade, reassignment, and removals, including supporting documentation.

7.4.3 Any document that indicates that the rating is being challenged under administrative procedures (e.g., when the employee files a grievance on the rating received).

7.4.4 Records concerning performance during the supervisory or managerial probationary period or the employee's

initial period of probation after appointment.

7.4.5 Advice and counseling records that are based on work performance.

7.4.6 Performance-related records for all employees must be maintained for no less than 4 years from the date the final rating is issued. Such records shall be maintained and destroyed in accordance with NASA Headquarters' or the Center's requirements; the NASA Privacy Policy; and Office of Personnel Management (OPM) Governmentwide system of records, OPM/GOVT-2 requirements; and other applicable regulations.

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